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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/665,484	09/22/2003	Atsuhisa Saitoh	243004US2	6903

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OBLON, SPIVAK, MCCLELLAND, MAIER & NEUSTADT, P.C.  
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ALEXANDRIA, VA 22314

EXAMINER	
TO, BAOTRAN N	

ART UNIT	PAPER NUMBER
2135	

NOTIFICATION DATE	DELIVERY MODE
07/31/2007	ELECTRONIC

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

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<b>Office Action Summary</b>	<b>Application No.</b>		<b>Applicant(s)</b>	
	10/665,484		SAITOH ET AL.	
	<b>Examiner</b>		<b>Art Unit</b>	
	Bao Tran N. To		2135	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 01 May 2007.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-69 is/are pending in the application.
- 4a) Of the above claim(s) 34-58, 63, 66 and 69 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-33, 59-62, 64, 65, 67 and 68 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All    b) ☐ Some \*    c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)            | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | Paper No(s)/Mail Date. _____                                      |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date <u>03/30/07</u> .  | 6) <input type="checkbox"/> Other: _____                          |

### DETAILED ACTION

1. This Office action is responsive to the Applicant's Amendment filed on 05/01/2007. Claims 1-33, 59-62, 64-65, 67 and 68, which corresponds to species I are elected for immediate examination. Claims 34-58, 63, 66 and 69 corresponding to species II-IX, respectively are withdrawn as being nonelected claims.

Claims 1-33, 59-62, 64-65, 67 and 68 have been examined and rejected.

### *Election/Restrictions*

2. Applicant's election with traverse of **Species I** in the reply filed on 05/01/2007 is acknowledged. The traversal is on the ground(s) that the claims of Species II-IX, claims 34-58, 63, 66 and 69, can also be searched and examined without serious burden to the Examiner. This is not found persuasive because each of the various disclosed species details a mutual exclusive characteristic of:

- I. An image forming device comprising an identification information reading part reading identification information of a document.
- II. A document profile management server comprising: a communication part receiving document identification information transmitted from a device.
- III. A document profile management server comprising: a communication part receiving electronic image data transmitted from a device and identification information acquisition part reading either a bar code, a two-dimensional code, numerical information, text information or dot-pattern from said electronic image data.

IV. A document processing device comprising a profile information addition part for performing a predetermined processing with respect to document data.

V. A document profile management server comprising: a communication part receiving and transmitting at least of a document profile, document identification information and electronic image data to from a device and an electronic image data generation part generating either a bar code, a two-dimensional code, numerical information, text information or dot-pattern from said electronic image data.

VI. An image forming device comprising a policy hold part holding a security policy describing a handling rule concerning a document.

VII. A policy distribution server comprising a policy management part managing a security policy and distributes said security policy to a device.

VIII. An image forming device comprising a rule acquisition part transmitting a document profile regarding a document to an external server providing a handling rule concerning said document according to said document profile.

IX. A policy interpretation server comprising: a policy hold part holding a security policy describing a handling rule concerning a document and a policy acquisition part acquiring said handling rule concerning an operation performed with respect to said document.

These above individual species acts as evidenced by the representation of each various species with a different figure or set of figures.

Claims 34-58, 63, 66 and 69 are withdrawn from further consideration pursuant to 37 CFR 1.142(b) as being drawn to a nonelected Species II-IX invention,

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there being no allowable generic or linking claim. Election was made with traverse in the reply filed on 05/01/2007.

A search for one of these mutually exclusive characteristics is not coextensive with a search for the other mutually exclusive characteristics and therefore searching for all mutually exclusive characteristics could not be done without serious burden.

The requirement is still deemed proper and is therefore made FINAL.

#### ***Information Disclosure Statement***

3. The information disclosure statement (IDS) submitted on 03/30/2007. The submission is in compliance with the provisions of 37 CFR 1.97. Accordingly, the information disclosure statement is being considered by the examiner.

#### ***Priority***

4. Receipt is acknowledged of papers submitted under 35 U.S.C. 119(a)-(d), which papers have been placed of record in the file.

#### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. Claims 1-33, 59-62, 64, 65, 67 and 68 are rejected under 35 U.S.C. 103(a) as being unpatentable over Wolff (U.S. Patent 5,848,413) hereinafter Wolff in view of Arai et al. (U.S. Patent Application Publication 2001/0025311 A1) hereinafter Arai.

Regarding Claims 1, 59, 64 and 67, Wolff discloses an image forming device comprising:

an identification information reading part reading identification information of a document (col. 6, lines 30-35);

an operation requirement selection part selecting at least one operation requirement specified according to said identification information (col. 5, lines 25-30);  
and

Wolff does not disclose "an operation control part controlling an execution of a predetermined operation according to the operation requirement selected by said operation requirement selection part."

However, Arai discloses an operation control part controlling an execution of a predetermined operation according to the operation requirement selected by said operation requirement selection part (Figures 7 and 11, paragraph 0054 and 0055).

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to have incorporated Arai's invention with Wolff to include an operation control part controlling an execution of a predetermined operation according to the operation requirement selected by said operation requirement selection

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part. One of ordinary skill in the art would have been motivated to do so because it would prevent illegal or unauthorized accesses (Arai, paragraph 0007).

Regarding Claims 17, 61, 65 and 68, Wolff discloses an image forming device comprising:

a document profile acquisition part transmitting identification information read from a document to an external server providing a document profile, and thereby receiving said document profile from said external server (Figure 2, element 202);

an operation requirement selection part selecting at least one operation requirement according to said document profile(col. 5, lines 25-30); and

Wolff does not disclose "an operation control part controlling an execution of a predetermined operation according to the operation requirement selected by said operation requirement selection part."

However, Arai discloses an operation control part controlling an execution of a predetermined operation according to the operation requirement selected by said operation requirement selection part (Figures 7 and 11, paragraph 0054 and 0055).

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to have incorporated Arai's invention with Wolff to include an operation control part controlling an execution of a predetermined operation according to the operation requirement selected by said operation requirement selection part. One of ordinary skill in the art would have been motivated to do so because it would prevent illegal or unauthorized accesses (Arai, paragraph 0007).

Regarding Claims 2 and 18, Wolff and Arai disclose the limitations of claim 1 above. Wolff and Arai further disclose wherein said operation requirement is a requirement regarding security for said document (col. 6, lines 50-58).

Regarding Claims 3 and 19, Wolff and Arai disclose the limitations of claim 1 above. Wolff and Arai further disclose wherein said predetermined operation is forming an image by electronic data (col. 6, lines 23-65).

Regarding Claims 4 and 20, Wolff and Arai disclose the limitations of claim 1 above. Wolff and Arai further disclose wherein said predetermined operation is printing said document on a paper (Figure 2, col. 4, lines 18-26).

Regarding Claims 5 and 21, Wolff and Arai disclose the limitations of claim 1 above. Wolff and Arai further disclose wherein said identification information reading part includes: an identification information recognition part recognizing data acquired by performing a predetermined reading operation with respect to said document, as said identification information; a document profile management part relating and managing said identification information and a document profile; and a document profile acquisition part acquiring said document profile related to said identification information recognized by said identification information recognition part by referring to said



document profile management part (Figures 2 and 4, col. 4, lines 18-26 and col. 5, lines 50-60).

Regarding Claims 6 and 22, Wolff and Arai disclose the limitations of claim 5 above. Wolff and Arai further disclose wherein said predetermined reading operation reads either a bar code, a two-dimensional code or a magnetic code printed on said document, or an RFID provided on said document so as to recognize the read data as said identification information when said document is a paper (col. 6, lines 4-10 and 45-50).

Regarding Claims 7 and 23, Wolff and Arai disclose the limitations of claim 5 above. Wolff and Arai further disclose wherein said predetermined reading operation recognizes either a bar code, a two-dimensional code, numerical information, text information or a dot pattern from electronic image data generated by reading said document, as said identification information (col. 6, lines 4-10 and 45-50).

Regarding Claims 8 and 25, Wolff and Arai disclose the limitations of claim 1 above. Wolff and Arai further disclose a user profile acquisition part acquiring a user profile regarding a user requesting said predetermined operation (Figure 11).

Regarding Claims 9 and 26, Wolff and Arai disclose the limitations of claim 8 above. Wolff and Arai further disclose wherein said user profile acquisition part

includes: a user identification information acquisition part acquiring user identification information identifying said user from said user; a user profile management part relating and managing said user identification information and said user profile; a user authentication part authenticating said user according to said user identification information; and a user profile reading part acquiring said user profile related to said user identification information acquired by said user identification information acquisition part by referring to said user profile management part according to a result of the authentication by said user authentication part (Figures 7 and 11, paragraph 0053-0055).

Regarding Claims 10 and 27, Wolff and Arai disclose the limitations of claim 8 above. Wolff and Arai further disclose wherein said user profile acquisition part includes: a user identification information acquisition part acquiring user identification information identifying said user from said user; and a user profile request part requesting said user profile from an external server authenticating said user and providing said user profile (Figure 11, paragraph 0063).

Regarding Claims 11, 28 and 60, Wolff and Arai disclose the limitations of claim 1 above. Wolff and Arai further disclose an operation requirement judgment part judging whether or not said operation requirement is feasible; and an operation prohibition part prohibiting said predetermined operation when a result of the judgment

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by said operation requirement judgment part indicates that said operation requirement is not feasible (paragraph 0067).

Regarding Claims 12 and 29, Wolff and Arai disclose the limitations of claim 1 above. Wolff and Arai further disclose wherein said operation requirement requires embedding an electronic watermark upon executing said predetermined operation with respect to said document (col. 6, lines 40-56).

Regarding Claims 13 and 30, Wolff and Arai disclose the limitations of claim 1 above. Wolff and Arai further disclose wherein said operation requirement requires embedding a displayable label upon executing said predetermined operation with respect to said document (col. 6, lines 40-56).

Regarding Claims 14 and 31, Wolff and Arai disclose the limitations of claim 9 above. Wolff and Arai further disclose wherein said operation requirement requires embedding a displayable label upon executing said predetermined operation with respect to said document, and said displayable label contains at least authentication data of said user requesting said predetermined operation, and a timestamp upon requesting said predetermined operation (Figure 3, paragraph 0046).

Regarding Claims 15 and 32, Wolff and Arai disclose the limitations of claim 9 above. Wolff and Arai further disclose wherein said operation requirement requires

recording at least authentication data of said user requesting said predetermined operation, document data of said document generated by said predetermined operation, and a timestamp upon requesting said predetermined operation (Figure 3, paragraph 0046).

Regarding Claims 16 and 33, Wolff and Arai disclose the limitations of claim 1 above. Wolff and Arai further disclose a delivery part delivering document data via a network, the document data being generated by executing said predetermined operation with satisfying said operation requirement enabling a network delivery of said document (Figure 2, step 204).

Regarding Claims 24 and 62, Wolff and Arai disclose the limitations of claim 23 above. Wolff and Arai further disclose wherein said document profile acquisition part includes a portion acquisition part acquiring a predetermined portion representing a portion or all of said electronic image data, wherein said communication part transmits said predetermined portion of said electronic image data to said external server, and receives said document profile from said external server (Figures 1 and 4, step 404).

### ***Prior Art***

6. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. (See PTO 892).

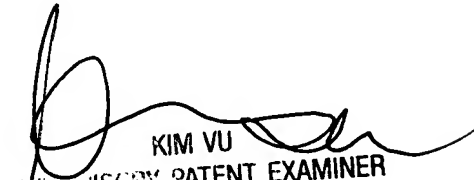
**Contact Information**

7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Bao Tran N. To whose telephone number is 571-272-8156. The examiner can normally be reached on Monday-Friday from 8:00 to 4:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kim Y. Vu can be reached on 571-272-3859. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

BT  
07/22/2007

  
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